

PATENT

DT03 Rec'd PCT/PTO 19 FEB 2003 PCT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

Applicants:

HERSCOVICI ET AL.

Examiner:

Not Known

Serial No.: **09/857,008**

Group Art Unit.:

Not Known

Filed:

MAY 30, 2001

Title:

**NOVEL NUCLEIC ACID TRANSFERRING
AGENTS, COMPOSITIONS CONTAINING
THEM AND USES**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231, on

Feb 13, 2003
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INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. 1.56, 1.97 AND 1.98

Commissioner for Patents
Washington, D.C. 20231

Sir:

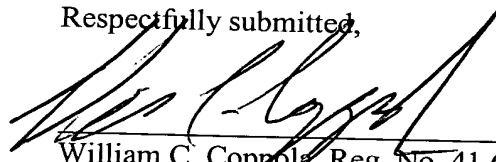
Applicants submit herewith patents, publications, and other information of which they are aware, which they believe may be material, as defined in 37 C.F.R. 1.56(b), to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. 1.56(a). While the information referred to in this Information Disclosure Statement may be material pursuant to 37 C.F.R. 1.56(b), the filing of this Information Disclosure Statement is not intended to, pursuant to 37 C.F.R. 1.97(h), constitute an admission that any patent, publication or other information referred to is, or is considered to be, material to the patentability of this invention. Pursuant to 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information exists.

- ☒ (a) This Information Disclosure Statement is filed within the period set forth in §1.97(b) because it accompanies the new patent application submitted herewith, is filed within three months of the filing date of a national application or within three months of the date of entry of the national stage as set forth in §1.491 in an international application, or is believed to be filed before the mailing date of a first Office Action on the merits, whichever event occurs last. However, in the event that the first office action has been mailed, the Commissioner is authorized to charge any fees under 37 C.F.R. 1.17(p) or credit any overpayment to Account No. 18-1982.

- ☐ (b) This Information Disclosure Statement is filed after the period set forth in 37 C.F.R. 1.97(b), but is believed to be filed before the mailing date of a final action under §1.113 or a notice of allowance under §1.311, whichever occurs first.
- ☐ (1) The undersigned attorney certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement;
- ☐ (2) The undersigned attorney certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned attorney after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this statement; or
- ☐ (3) This Information Disclosure Statement is accompanied by a transmittal letter in which payment of the fee set forth in §1.17(p) and required by 37 C.F.R. 1.97(c) is authorized.

The items listed with an asterisk on the attached PTO-1449 (modified) have been not been submitted because the corresponding U.S. equivalent is submitted in their place.

Respectfully submitted,

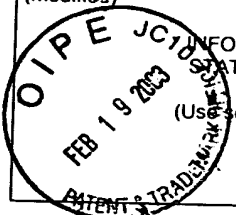

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Aventis Docket No. ST98046USPCT

PATENT

Sheet 1 of 1

FORM PTO-1449 (Modified)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. ST98046 US PCT	SERIAL NO. 09/857,008
 <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)</p>		RECEIVED APR 14 2003	
		APPLICANT Herscovi et al. FILING DATE May 30, 2001	GROUP Unknown TECH CENTER 1600/2900

U.S. PATENT DOCUMENTS

EXAMINER INITIALS			DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLAS S	FILING DATE IF APPROPRIATE
		AA	5	9	4	5	4	0	0	08-08-1999	Scherman et al			
		AB	5	9	4	8	6	8	1	09-07-1999	Scanlin et al.			
		AC	6	1	0	7	2	8	6	08-22-2000	Byk et al.			
		AD	6	1	7	1	6	1	2	01-09-2001	Byk et al.			
		AE	6	1	4	3	7	2	9	11-07-2000	Lehn et al.			
		AF	6	3	0	0	3	2	1	10-09-2001	Scherman et al.			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS			DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLAS S	TRANSLATION YES NO
		AG	9	6	1	7	8	2	3	06-13-1996	WO*			
		AH	9	6	2	1	0	3	6	07-11-1996	WO			
		AI	9	7	1	8	1	8	5	03-22-1997	WO**			
		AJ	9	7	3	1	9	3	5	09-04-1997	WO***			
		AK	9	8	5	4	1	3	0	12-03-1998	WO****			
		AL	9	9	5	1	5	8	1	10-14-1999	WO			

*corresponds to AC
 **corresponds to AD
 ***corresponds to AE
 ****corresponds to AF

OTHER DOCUMENTS

EXAMINER INITIALS			AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.											
		AM	Erbacher et al., The reduction of the positive charges of polylysine by partial gluconoylation increases the transfection efficiency of polylysine/DNA complexes, Biochimica et Biophysica Acta 1324, 1997, pp. 27-36											
		AN	Goula et al., Polyethylenimine-based intravenous delivery of transgenes to mouse lung, Gene Therapy, 1998, Vol. 5, pp. 1291-1295											
		AO	Oku et al., Effect of serum protein binding on real-time trafficking of liposomes with different charges analyzed by positron emission tomography, Biochimica et Biophysica Acta, Vol. 1280, 1996, pp. 149-154											
		AP	Fuhrop et al., Bolaamphiphiles with mannose - and tetraalkylammonium head groups ascoating nucleic acids and possible reagents for transfections, Vol. 43, April 1997, pp. 193-213											
		AQ	Pitard et al., Virus-sized self-assembling lamellar complexes between plasmid DNA and cationic micelles promote gene transfer, Proc. Natl. Acad. Sci., Vol. 94, Dec. 1997, pp. 14412-14417											

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
Note: Asterisk (*) item(s) have been previously cited in a related application(s) either by the applicant or by the USPTO and therefore copies of the reference(s) are not being submitted.